

2005-2007 IT PLAN Summary - Agency Budget Request

00108 SECRETARY OF STATE

2005B0100108

AGENCY IT OVERVIEW

AGENCY MISSION

To serve the people of the state of North Dakota and its guests;
To execute with integrity the duties required by the North Dakota Constitution and the North Dakota Century Code;
To collect and preserve the records of the state as defined by the law; and
To act as an ambassador for the state of North Dakota, its people, and its way of life.
This mission will be dispatched effectively, efficiently, expeditiously, courteously, and with financial responsibility.

DUTIES OF AGENCY

The Secretary of State is the office of record for the state of North Dakota. As the office of record, the agency provides stewardship over key government and public information, including, but not limited to the following:

1. File documents in 45 different business related categories
2. File Uniform Commercial Code (UCC) and various other lien documents
3. File the proceedings of the state legislature
4. File the official acts of the Governor
5. License contractors, professional fundraisers, charitable solicitation organizations; issue Notary Public commissions; register lobbyists; receive applications of agents for chemical applicators
6. Administer elections and maintain all election and candidate related records

AGENCY IT PLAN CONTACT DATA

Jim Silrum
Deputy Secretary of State
328-3660
jsilrum@state.nd.us

AGENCY TECHNOLOGY GOALS AND OBJECTIVES

1. Bringing FileNet to the Counties: The agency's Central Indexing System allows filers to file various lien documents in the Secretary of State's office or in the Recorder's office of the state's respective 53 counties. Presently, only the documents filed in the Secretary of State's office are stored and managed electronically using FileNet software. The goal is to deploy FileNet to each county so that it will allow for the seamless movement and retrieval of documents between all 54 filing locations. Because the system will be backed upped at regular intervals, it will allow the system to continue to operate if disaster occurs in one of the filing locations. The cost will be covered utilizing the agency's General Services Operating Fund.

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2. FileNet for Administration, Licensing, and the Business Division: The Secretary of State's office files approximately 500,000 documents each year. The goal of FileNet and its accompanying workflow systems will greatly enhance processes of storage, retrieval, and making the information more readily available to the public through enhanced web based applications.

3. Migrating data from the AS400 to another platform: Currently, the agency's database is housed on an AS/400 platform. The base architecture, which was created before 1993, is no longer functionally efficient. It is expensive to upgrade because of its RPG based programming language and it limiting in the types of services that can be provided for the benefit of other agencies and the public. Therefore, ITD has advised the agency to migrate its database to another platform that would be less expensive to maintain and which would allow services to be enhanced and be more relational to a number of different uses both within and outside the agency.

Since every business entity has a registration requirement with the agency before it can conduct business or obtain permits, licenses, etc., eighteen other state agencies depend and access the information in the Secretary of State's database. Movement to a different architecture will have enterprise wide benefits.

4. Automatic Cash Handling: To provide better service to agency customers and enhance staff productivity, the ACH will allow payment for services to be handled more efficiently. The availability of this payment option will also be beneficial as more services are offered and utilized by agency customers that allow documents to be filed electronically with the agency.

5. Central Voter File: This project is to develop a statewide central database of voters who have voted to allow for the printing of precinct poll books for upcoming elections and for improved election administration and maintaining election integrity. Funding provided through the Help America Vote Act of 2002 will cover the cost.

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Number of Desktop Computers	25	Windows 98	0
Number of Desktop Computers planned to be replaced	13	Wndows NT	0
Aveage cost of Desktop Computer Replacements	800	Windows 2000	100
Number of Laptop Computers	3	Windows XP	0
Number of Laptop Computers Planned to be replaced	0	Other	0
Aveage cost of Laptop Computer Replacements	1860		

Number of PC's by Region

1	2	3	4	5	6	7	8
0	0	0	0	0	0	28	0

Agency Technology Activities

CURRENT RELIANCE ON TECHNOLOGY

The Secretary of State's office is exceedingly dependent on technology for the efficient processing, storage, and disbursement of the information filed with and maintained by the agency. The agency receives funding from the state's general fund, the agency's general services operating account, and the federal government. State revenue is generated from fees levied for filings, searches, licenses and registrations, etc. The agency expends approximately 80% of its state appropriated operating line on direct IT costs.

The agency uses a variety of technology operating platforms.

The largest system is for the Central Indexing System (CIS), which is connected to the Recorder offices in the state's 53 counties and includes approximately 280,000 filings. The CIS resides on ITD's mainframe.

The agency uses several integrated systems on an AS/400 provided by ITD. Functions on it are performed for accounting, word processing, imaging, and maintaining databases for various filings related to business registrations, contractors, lobbyists, notary publics, etc. The agency has installed an updated word processing application for the AS/400 known as DTM and is planning to install FileNet software for document processing and storage. Efforts are also underway to convert to a current imaging software and to index existing images as well as develop the necessary applications for the purpose of creating and indexing new documents and images.

A local area network (LAN) is used to connect the workstations within the office to the mainframe, the AS/400, and the ITD server. The server houses smaller databases related to boxing, chemical applicators, oaths of office, official acts, etc.

The agency has also expanded its use of its website for the convenience of the public and agency customers. Major applications and components allows searches of business records; direct subscriber filing and searching of documents filed in the Central Indexing System; viewing of charitable solicitation reports; listing of licensed contractors and registered lobbyists; and the viewing of extensive election information, campaign finance reports, and election results.

The Election Management System portion of the website allows County Auditors to directly post results on election night for immediate viewing.

With technology, the Secretary of State's has greatly enhanced services offered to the public and its customers. It also has been able to efficiently annually process more than 45,000 documents that did not exist in 1995 without having an increase in staff. However, in order to remain effective, efficient and offer services expected by the public, the office must continue its wise utilization of technology that has occurred over the past 12 years.

Barriers

Compared to the 1991/1993 biennium, the agency is expected to generate 68% more in revenue for the state during 2001/2003 biennium. On the other hand, the projected expenditures for the 2001/2003 biennium have only increased by 8.5% compared to the 1991/2003 biennium.

In order to maintain this level of efficiency, the agency will need some additional funding for technology to take advantage of the latest in processing software and systems to provide the services to the public and its customers and to sustain and increase the agency's (staff) productivity.

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		Current Appropriation	Budget Request	Optional Adjustments	Request Plus Optionals	Subsequent Biennium
30	OPERATING EXPENSES					
IT3002	IT-DATA PROCESSING	\$1,450,192	\$1,310,353	\$0	\$1,310,353	\$1,450,192
IT3003	IT TELEPHONE	\$51,000	\$48,500	\$0	\$48,500	\$51,000
IT3005	IT SOFTWARE/SUPPLIES	\$12,000	\$8,000	\$0	\$8,000	\$12,000
IT3008	IT CONTRACTUAL SVCS & REPAIRS	\$113,050	\$39,112	\$0	\$39,112	\$113,050
IT3038	IT EQUIPMENT UNDER \$5000	\$25,000	\$20,000	\$0	\$20,000	\$25,000
	Total	\$1,651,242	\$1,425,965	\$0	\$1,425,965	\$1,651,242
50	CAPITAL ASSETS					
TI5016	IT EQUIPMENT \$5000 & OVER	\$0	\$8,100	\$0	\$8,100	\$0
	Total	\$0	\$8,100	\$0	\$8,100	\$0
Funding Source						
STATE GENERAL FUND			\$1,434,065	\$0	\$1,434,065	\$1,651,242
			\$1,434,065	\$0	\$1,434,065	\$1,651,242

IT Capture Project Details - Agency Budget Request

Date: 11/30/2004

Time 7:40:42AM

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Project: Bringing FileNet to the County Recorders for CIS

Priority - 1 Major Enhancement / Upgrade

Project Description

The agency's Central Indexing System is connected to the Recorder offices in the state's 53 counties, which allows for the filing of various lien documents in any one of 54 filing offices. The agency currently uses FileNet to process, file, and store documents filed with it. The objective of this project is to extend the same function to all 53 counties, which will allow for the access, retrieval, and storage of all lien records regardless of the office in which they were filed.

Description of Business Need or Problem Driving the Project

To eliminate the need to maintain paper records of filings, to increase efficiency, provide for electronic backup of important documents, to more easily provide information to customers regardless of the office where the document has been filed.

Description of how Project is Consistent with the Organization's Mission

According to the agency's mission statement, it is to collect and preserve the records of the state as defined by law. This extends to providing services for the public by using appropriate tools and the wise use of financial resources to maintain, provide, and store important records of commerce.

Description of the Anticipated Benefits

It will eliminate the storage of paper documents, eliminate the present need for facsimile transmission of documents between 54 filing offices, and provide a safeguard of important documents in the event of a disaster in one of the filing offices

Description of the Impact of NOT Implementing the Project

A significant impact of non-implementation would be not having a system in place where documents are preserve in the event of a disaster such as experienced during the 1997 Grand Forks flood. Non-implementation would also mean the continuation of an inefficient system of processing, transmitting, and storing of important documents needed for commerce within the state.

Identify any Risks Associated with the Project

There are no known risks..

Description of Additional Cost, if Any, for the Project

Additional costs are for training sessions, travel, lodging, rental of scanning equipment, and project support.

Additional Costs for the project that are not included in IT Object Codes

Additional Costs - \$4,480.00

Optional Project Costs \$47,183.00

Total Project Cost - \$0.00

Total Project Cost + Optionals \$47,183.00

Description of Non-Appropriated Funds -

NA

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Project: Bringing FileNet to the County Records for CIS

	<u>CURRENT</u> <u>APPROPRIATIONS</u>	<u>BUDGET</u> <u>REQUEST</u>	<u>OPTIONAL</u> <u>ADJUSTMENT</u>	<u>REQUEST PLUS</u> <u>OPTIONALS</u>	<u>SUBSEQUENT</u> <u>BIENNIUM</u>
IT3002 IT-DATA PROCESSING	\$0	\$58,231	\$0	\$58,231	\$0
Total	\$0	\$58,231	\$0	\$58,231	\$0
SPEC1 IT SPECIAL FUNDS		\$58,231	\$0	\$58,231	\$0
Total Funding:		\$58,231	\$0	\$58,231	\$0

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Project: Migrating data from AS400 to another platform

Priority - 2

Application Replacement

Age of Current Application - 15

Project Description

Migrating Secretary of State software applications from the AS/400 to another platform.

Description of Business Need or Problem Driving the Project

According to ITD, the AS/400 is not a long-term type platform that will allow the Secretary of State's office to cost-effectively expand and enhance services to the public and for maintaining and increasing agency productivity needed as the result of increase filings. When the present system was built, the then available technology resulted in the creating of a base operating system that is not very relational in today's information environment.

Description of how Project is Consistent with the Organization's Mission

It allows the agency to more effectively and cost-effectively perform its statutory duties in providing services to the public.

Description of the Anticipated Benefits

The agency's database would become more relational to other applications, provide faster service, increase productivity, and result in a wiser and more appropriate use of financial resources.

Description of the Impact of NOT Implementing the Project

Non-implementation will result in the expenditure of funds to maintain an obsolete system that will have to be replaced in the future anyway. The delay will result in doubling the cost, future migration will be more difficult, and the present system will still not have the relational features to allow other agencies access to information on file with the agency that is important to their respective operations.

Identify any Risks Associated with the Project

The risk is the possible loss of essential information during migration. It will be important to operate a dual system until it can be verified that information has been transferred and that all processing systems are working as intended.

Description of Additional Cost, if Any, for the Project

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Project: Migrating data from AS400 to another platform

NA

Additional Costs for the project that are not included in IT Object Codes

Additional Costs - \$0.00

Optional Project Costs \$250,000.00

Total Project Cost - \$0.00**Total Project Cost + Optionals \$250,000.00****Description of Non-Appropriated Funds - \$0.00**

NA

	<u>CURRENT</u> <u>APPROPRIATIONS</u>	<u>BUDGET</u> <u>REQUEST</u>	<u>OPTIONAL</u> <u>ADJUSTMENT</u>	<u>REQUEST PLUS</u> <u>OPTIONALS</u>	<u>SUBSEQUENT</u> <u>BIENNIUM</u>
IT3008 IT CONTRACTUAL SVCS & REPAIRS	\$0	\$0	\$250,000	\$250,000	\$0
Total	\$0	\$0	\$250,000	\$250,000	\$0
001 STATE GENERAL FUND		\$0	\$250,000	\$250,000	\$0
Total Funding:		\$0	\$250,000	\$250,000	\$0

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Project: FileNet for Admin Lic & Business Divisions

Priority - 1 Major Enhancement / Upgrade

Project Description

Add FileNet software applications for processing and storage of documents related to business registrations and licensing functions.

Description of Business Need or Problem Driving the Project

The agency is processing a significant increase in the number of documents. For example, over 35,500 more documents are processed annually when compared to a 1995 benchmark. To maintain services, adhere to timelines prescribed in law, and to sustain and increase productivity, it is essential to utilize the latest in technology.

Description of how Project is Consistent with the Organization's Mission

According to the agency's mission statement, it will complete its duties effectively, efficiently, expeditiously, courteously, and with financial responsibility. This project matches those goals.

Description of the Anticipated Benefits

With the same FTE authorization, the agency will be able to process the increasing number of documents filed with it, reduce overtime costs, and allow time for other office functions and tasks not now available.

Description of the Impact of NOT Implementing the Project

The agency will continue to incur overtime costs, it may not be able to meet statutory deadlines, and increase the possibility for employee stress, reduced productivity, and burnout.

Identify any Risks Associated with the Project

There are no known risks.

Description of Additional Cost, if Any, for the Project

NA

Additional Costs for the project that are not included in IT Object Codes

Additional Costs - \$0.00

Optional Project Costs \$200,000.00

Total Project Cost - \$0.00**Total Project Cost + Optionals \$200,000.00****Description of Non-Appropriated Funds - \$0.00**

NA

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Project: FileNet for Admin Lic & Business Divisions

	<u>CURRENT</u> <u>APPROPRIATIONS</u>	<u>BUDGET</u> <u>REQUEST</u>	<u>OPTIONAL</u> <u>ADJUSTMENT</u>	<u>REQUEST PLUS</u> <u>OPTIONALS</u>	<u>SUBSEQUENT</u> <u>BIENNIUM</u>
IT3002 IT-DATA PROCESSING	\$0	\$117,715	\$0	\$117,715	\$0
IT3008 IT CONTRACTUAL SVCS & REPAIRS	\$0	\$75,000	\$0	\$75,000	\$0
TI5016 IT EQUIPMENT \$5000 & OVER	\$0	\$6,900	\$0	\$6,900	\$0
Total	\$0	\$199,615	\$0	\$199,615	\$0
001 STATE GENERAL FUND		\$199,615	\$0	\$199,615	\$0
Total Funding:		\$199,615	\$0	\$199,615	\$0

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Project: Central Voter File for Elections

Priority - 1

New Initiative

Project Description

Due to funding provided under the Help America Vote Act of 2002, the state can improve and enhance election administration. One such initiative is a longtime state/county desired central system that would record the names of voters who vote in each election. It would allow for the pre-printing of precinct poll books prior to each election and for post-election review of alleged violations. The system would also enable the court system a more accurate and assessable list for jury duty.

Description of Business Need or Problem Driving the Project

Presently, poll books are only maintained at the county level and not all counties have the means to pre-print poll books prior to an election, which often results in poll books that are not legible or accurate. Having the poll books in 53 different county locations also makes post-election investigation of alleged election violations much more difficult.

Description of how Project is Consistent with the Organization's Mission

According to the agency's mission statement, it is to execute with integrity the duties required by the North Dakota Constitution and the North Dakota Century Code. This project is a direct response to the requirements of N.D.C.C. Chapter 16.1 - 02 adopted by 2003 Legislative Assembly.

Description of the Anticipated Benefits

The benefits of this project are improved election administration for maintaining the integrity of the voting process in North Dakota.

Description of the Impact of NOT Implementing the Project

The agency would not comply with state law.

Identify any Risks Associated with the Project

There are no known risks although it will be necessary to work with the court system and several other agencies to successfully implement the project.

Description of Additional Cost, if Any, for the Project

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Project: Central Voter File for Elections

NA

Additional Costs for the project that are not included in IT Object Codes

Additional Costs - \$0.00

Optional Project Costs \$1,000,000.00

Total Project Cost - \$0.00**Total Project Cost + Optionals \$1,000,000.00****Description of Non-Appropriated Funds - \$0.00**

NA

	<u>CURRENT</u> <u>APPROPRIATIONS</u>	<u>BUDGET</u> <u>REQUEST</u>	<u>OPTIONAL</u> <u>ADJUSTMENT</u>	<u>REQUEST PLUS</u> <u>OPTIONALS</u>	<u>SUBSEQUENT</u> <u>BIENNIUM</u>
IT3008 IT CONTRACTUAL SVCS & REPAIRS	\$1,000,000	\$1,000,000	\$0	\$1,000,000	\$0
Total	\$1,000,000	\$1,000,000	\$0	\$1,000,000	\$0
G157 HAVA ELECTION REFORM		\$1,000,000	\$0	\$1,000,000	\$0
Total Funding:		\$1,000,000	\$0	\$1,000,000	\$0

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Project: Automatic Clearing House

Priority - 2 New Initiative

Project Description

Add Automatic Clearing House (ACH) for payment processing.

Description of Business Need or Problem Driving the Project

As the agency provides more electronic based services, adding ACH capabilities will provide efficiencies to the agency and its customers.

Description of how Project is Consistent with the Organization's Mission

This project will help us accomplish our responsibilities effectively, efficiently, expeditiously, courteously, and with financial responsibility.

Description of the Anticipated Benefits

As agency customers utilize more electronic based service, the ACH will allow them to more easily provide payment for those services. As more electronic based filings become more common, the agency will also have less paper documents to process.

Description of the Impact of NOT Implementing the Project

It will delay providing services to agency customers that are well accepted in today's commerce.

Identify any Risks Associated with the Project

There are no known risks.

Description of Additional Cost, if Any, for the Project

NA

Additional Costs for the project that are not included in IT Object Codes

Additional Costs - \$0.00

Optional Project Costs \$30,000.00

Total Project Cost - \$0.00**Total Project Cost + Optionals \$30,000.00****Description of Non-Appropriated Funds - \$0.00**

NA

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Project: Automatic Clearing House

	<u>CURRENT</u> <u>APPROPRIATIONS</u>	<u>BUDGET</u> <u>REQUEST</u>	<u>OPTIONAL</u> <u>ADJUSTMENT</u>	<u>REQUEST PLUS</u> <u>OPTIONALS</u>	<u>SUBSEQUENT</u> <u>BIENNIUM</u>
IT3008 IT CONTRACTUAL SVCS & REPAIRS	\$0	\$20,000	\$0	\$20,000	\$0
Total	\$0	\$20,000	\$0	\$20,000	\$0
001 STATE GENERAL FUND		\$20,000	\$0	\$20,000	\$0
Total Funding:		\$20,000	\$0	\$20,000	\$0